

BOX SEQUENCE  
PATENT  
1781-0163P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant:	GONG et al.	Conf.:	5940
Appl. No.:	09/913,898	Group:	To Be Assigned
Filed:	August 17, 2001	Examiner:	TO BE ASSIGNED
For:	CHIMERIC GENE CONSTRUCTS FOR GENERATION OF FLUORESCENT TRANSGENIC ORNAMENTAL FISH		

## SMALL ENTITY TRANSMITTAL FORM

Assistant Commissioner for Patents  
Washington, DC 20231

November 27, 2001

Sir:

Transmitted herewith is an amendment in the above-identified application.

- ☒ Applicant claims small entity status under 37 C.F.R. § 1.27.
- ☐ The enclosed document is being transmitted via the Certificate of Mailing provisions of 37 C.F.R. § 1.8.
- ☐ The enclosed document is being transmitted via facsimile.

The fee has been calculated as shown below:

The FCC has been calculated as shown below:

	CLAIMS REMAINING AFTER AMENDMENT					HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	39	-	39	=	0		\$ 9	\$0.00	
INDEPENDENT	8	-	8	=	0		\$ 40	\$0.00	
_____ FIRST PRESENTATION OF A MULTIPLE CLAIM							\$135	\$0.00	
							TOTAL	\$0.00	

- ☐ Petition for ( ) month(s) extension of time pursuant to 37 C.F.R. §§ 1.17 and 1.136(a). \$0.00 for the extension of time.
- ☒ No fee is required.
- ☐ A check in the amount of \$0.00 is enclosed.
- ☐ Please charge Deposit Account No. 02-2448 in the amount of \$0.00. This form is submitted in triplicate.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. §§1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By Kristi L. Rupert #45702  
for Gerald M. Murphy, Jr., #28,977

GMM/LPS  
1781-0163P

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

Attachment

JC10 Rec'd PGT/PTO 2 7 NOV 2001



BOX PCT  
PATENT  
1781-0163P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Zhiyuan GONG et al. Conf.: 5940  
Int'l. Appl. No.: PCT/SG99/00079  
Appl. No. 09/913,898 Group: Unknown  
Filed: August 17, 2001 Examiner: UNKNOWN  
For: CHIMERIC GENE CONSTRUCTS FOR  
GENERATION OF FLUORESCENT  
TRANSGENIC ORNAMENTAL FISH

LETTER

BOX PCT  
Assistant Commissioner for Patents  
Washington, DC 20231

November 27, 2001

Sir:

Applicant wishes to advise the United States Patent and Trademark Office that a Declaration was filed on October 3, 2001, to perfect Applicant's filing requirements.

The filing requirements were perfected prior to the receipt of the Notification of Missing Requirements (371 Formalities Letter), a copy of which is attached hereto.

As evidence of Applicant's previous submission of a Declaration in connection with the present application, Applicant encloses a copy of the Declaration and Power of Attorney, filed

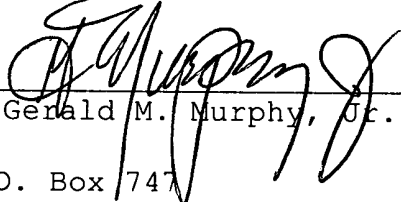
Appl. No. 09/913,898

October 3, 2001, and a copy of the postcard indicating receipt of the Declaration by the U.S.P.T.O.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By   
Gerald M. Murphy, Jr., #28,977

P.O. Box 747  
Falls Church, VA 22040-0747  
(703) 205-8000

GMM/las  
1781-0163P

Attachments: Copy of 371 Formalities Letter  
Copy of Postcard Receipt  
Copy of Declaration and Power of Attorney

(Rev. 10/16/01)

Papers Filed herewith on:

Oct. 3, 2001

831

DOCKET NO.:

1781-0163P

ATTY: GWH

APPLICANT(S):

SONG et al

APPLN. NO.:

091913,898

FILED: Aug. 17, 2001

PAT NO.:

☐ New Application with Transmittal Letter☐ Utility ☐ Design ☐ CIP ☐ PCT ☐ Provisional☐ Filing Under 37 CFR 1.53(b) ☐ CONT ☐ DIV☐ Filing Under 37 CFR 1.53(d) (CPA)☐ Filing Under 37 CFR 1.114(RCE)☐ Specification Consisting of: \_\_\_\_\_ pages☐ Combined Declaration & Power of Attorney☒ Assignment / Cover Letter☐ Letter to Official Draftsman☐ Drawings \_\_\_\_\_ Sheets ☐ Formal ☐ Informal ☐ Red-link☐ Completion of Filing Requirements, PCT/DO/E/O/905 or Formalities Letter and Executed Declaration☐ Priority Document(s) / Cover Letter, No. Doc. \_\_\_\_\_☐ Amendment: \_\_\_\_\_☐ Transmittal Ltr ☐ Large Entity ☐ Small Entity☐ Response \_\_\_\_\_ (tell(s) \_\_\_\_\_)☐ Information Disc. Stmt. PTO-1449(s) ☐ Appeal Brief☐ Notice of Appeal☐ Issue Fee Transmittal☒ FEES: \$40.00 Oct. 3, 2001☐ Letter: \_\_\_\_\_☐ Other: \_\_\_\_\_

Receipt is hereby acknowledged of the papers filed as indicated in connection with the above identified case.

COMMISSIONER OF PATENTS AND TRADEMARKS

Due Date: Oct. 3, 2001

Handcarry: \_\_\_\_\_



DOCKET NO. 1781-0163P

Papers Filed herewith on:

Oct. 3, 2001

832

DOCKET NO.:

1781-0163P

ATTY: GWH

APPLICANT(S):

SONG et al

APPLN. NO.:

091913,898

FILED: Aug. 17, 2001

PAT NO.:

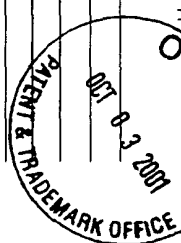
☐ New Application with Transmittal Letter☐ Utility ☐ Design ☐ CIP ☐ PCT ☐ Provisional☐ Filing Under 37 CFR 1.53(b) ☐ CONT ☐ DIV☐ Filing Under 37 CFR 1.53(d) (CPA)☐ Filing Under 37 CFR 1.114(RCE)☐ Specification Consisting of: \_\_\_\_\_ pages☐ Combined Declaration & Power of Attorney☐ Assignment / Cover Letter☐ Letter to Official Draftsman☒ Drawings \_\_\_\_\_ Sheets ☐ Formal ☐ Informal ☐ Red-link☒ Completion of Filing Requirements, PCT/DO/E/O/905 or Formalities Letter and Executed Declaration☐ Priority Document(s) / Cover Letter, No. Doc. \_\_\_\_\_☐ Amendment: \_\_\_\_\_☐ Transmittal Ltr ☐ Large Entity ☐ Small Entity☐ Response \_\_\_\_\_ (tell(s) \_\_\_\_\_)☐ Information Disc. Stmt. PTO-1449(s) ☐ Appeal Brief☐ Notice of Appeal☐ Issue Fee Transmittal☐ FEES: \_\_\_\_\_☐ Letter: \_\_\_\_\_☐ Other: \_\_\_\_\_

Receipt is hereby acknowledged of the papers filed as indicated in connection with the above identified case.

COMMISSIONER OF PATENTS AND TRADEMARKS


Due Date: Oct. 3, 2001

Handcarry: \_\_\_\_\_



DOCKET NO. 1781-0163P

#3

 <small>Combinatorial Fee Paying, See PCT, United States Patent and Trademark Office, Washington, D.C. 20531, www.uspto.gov</small>		
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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/913,898	Zhiyuan Gong	1781-0163P

INTERNATIONAL APPLICATION NO.
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PCT/SG99/00079

I.A. FILING DATE	PRIORITY DATE
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07/16/1999

02/18/1999

2292

BIRCH STEWART KOLASCH & BIRCH  
PO BOX 747  
FALLS CHURCH, VA 22040-0747

Handwritten: *OK*  
Docketed *ES*  
11-30-01  
Response

CONFIRMATION NO. 5940

371 FORMALITIES LETTER



\*OC000000006991380\*

Date Mailed: 10/30/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Biochemical Sequence Listing
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Request for Immediate Examination
- Small Entity Statement

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason (s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
  - APPLICANT MUST PROVIDE:
    - An initial or substitute computer readable form (CRF) of the "Sequence Listing."

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

JOHN L ANDERSON

Telephone: (703) 308-9116

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/913,898	PCT/SG99/00079	1781-0163P